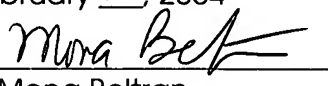




Patent Docket P1096R1C1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of T. Shantha Raju Serial No.: 10/719,603 Filed: November 21, 2003 For: METHODS AND COMPOSITIONS FOR GALACTOSYLATED GLYCOPROTEINS	Group Art Unit: to be assigned Examiner: to be assigned Confirmation No: to be assigned Customer No: 09157 CERTIFICATE OF EXPRESS MAILING Express Mail Number: <u>EV 351 931 998 US</u> I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450". February <u>19</u> , 2004  Mona Beltran
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TRANSMITTAL LETTER

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith are the following documents:

1. Information Disclosure Statement;
2. Form PTO-1449;
3. Return postcard.

In the event any additional fees are due in connection with the filing of these documents, the Commissioner is authorized to charge such fees to our Deposit Account No. 07-0630.

Respectfully submitted,

GENENTECH, INC.

Date: February 19, 2004

By: 

Elinor K. Shin

Reg. No. 43,117

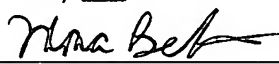
Telephone No.: (650) 225-3536

#149829



Patent Docket P1096R1C1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of T. Shantha Raju Serial No.: 10/719,603 Filed: November 21, 2003 For: METHODS AND COMPOSITIONS FOR GALACTOSYLATED GLYCOPROTEINS	Group Art Unit: to be assigned Examiner: to be assigned Confirmation No: to be assigned CUSTOMER NO: 09157 CERTIFICATE OF EXPRESS MAILING Express Mail Number: <u>EV 351 931 998 US</u> I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450". February <u>19</u> , 2004  Mona Beltran
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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached revised Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

This Information Disclosure Statement is filed in accordance with the provisions of:

(X) **37 CFR §1.97(b)**

- within three months of the filing date of the application other than a continued prosecution application under 37 CFR §1.53(d); **or**
- within three months of the date of entry of the national stage of a PCT application as set forth in 37 CFR §1.491, **or**
- before the mailing of the first Office action on the merits; **or**
- before the mailing of the first Office action after the filing of a request for a continued examination under 37 CFR §1.114.

☐ **37 CFR §1.97(c)**

- by the applicant after the period specified in 37 CFR §1.97(b), but prior to the mailing date of any of a final action under 37 CFR §1.113, or a notice of allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application, and is accompanied by either the fee set forth in 37 CFR §1.17(p) **or** a statement as specified in 37 CFR §1.97(e), as checked below.

☐ **37 CFR §1.97(d)**

- after the period specified in CFR §1.97(c), and is accompanied by the fee set forth in 37 CFR §1.17(p) **and** a statement as specified in 37 CFR §1.97(e), as checked below.

(If either of boxes 37 CFR §1.97(c) or 37 CFR §1.97(d) is checked above, the following statement under 37 CFR §1.97(e) may need to be completed.)

- ☐ **37 CFR §1.97(e)** Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- ☐ **37 CFR §1.704(d)** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and the communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of this information disclosure statement. Therefore, in accordance with the provisions of 37 CFR §1.704(d), the filing of this information disclosure statement will not be considered a failure to engage in reasonable efforts to conclude prosecution under 37 CFR §1.704.
- ☐ The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p). Any deficiency or overpayment should be charged or credited to this deposit account.

A list of the patent(s) or publication(s) is set forth on the attached revised Form PTO-1449 (Modified). Those patent(s) or publication(s) which are marked with an asterisk (*) in the attached PTO-1449 form are not supplied because they were previously cited by or submitted to the Office in a prior application Serial No. 09/102,865, filed June 23, 1998 and relied upon in this application for an earlier filing date under 35 USC §120.

A concise explanation of relevance of the items listed on PTO-1449 is:

(X) not given

- ☐ given for each listed item
- ☐ given for only non-English language listed item(s) (Required)
- ☐ in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

In accordance with 37 CFR §1.97(g), the filing of this information disclosure statement shall not be construed as a representation that a search has been made.

In accordance with 37 CFR §1.97(h), the filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR 1.16 and 1.17 for this Information Disclosure Statement, or credit overpayment to Deposit Account No. 07-0630. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

GENENTECH, INC.

Date: February 19, 2004

By: 

Elinor K. Shin

Reg. No. 43,117

Telephone No. (650) 225-3536

#149818



FORM PTO-1449

U.S. Dept. of Commerce
Patent and Trademark Office

Atty Docket No.

P1096R1C1

Serial No.

10/719603

LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

Applicant

T. Shantha Raju

Filing Date

21 Nov 2003

Group

to be assigned

U.S. PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
	* 1	5,047,335	10.09.91	Paulson et al.			
	* 2	5,096,816	17.03.92	Maiorella, B.			
	* 3	5,116,964	26.05.92	Capon et al.			
	* 4	5,180,674		Roth			
	* 5	5,278,299	11.01.94	Wong et al.			
	* 6	5,510,261	23.04.96	Goochee et al.			
	* 7	5,565,335	15.10.96	Capon et al.			
	* 8	5,610,297	11.03.97	Powers			
	* 9	5,728,554		Bayer et al.			
	* 10	5,834,251	10.11.98	Maras et al.			
	* 11	6,165,745	26.12.00	Ward et al.			

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Examiner Initials		Document Number	Date	Country	Class	Subclass	Translation Yes No
	* 12	WO 92/20798	26.11.92	PCT			
	* 13	WO 94/11026	26.05.94	PCT			
	* 14	WO 95/19181	20.07.95	PCT			
	* 15	WO 95/23865	08.09.95	PCT			
	* 16	WO 96/30046	03.10.96	PCT			
	* 17	WO 97/30087	21.08.97	PCT			
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OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)

	* 19	Abraham et al., "p55 Tumor Necrosis Factor Receptor Fusion Protein in the Treatment of Patients With Severe Sepsis and Septic Shock" <u>Journal of the American Medical Assn.</u> 277:1531-1538 (1997)
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Examiner

Date Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449		U.S. Dept. of Commerce Patent and Trademark Office		Atty Docket No. P1096R1C1	Serial No. 10/719603
LIST OF DISCLOSURES CITED BY APPLICANT (Use several sheets if necessary)				Applicant T. Shantha Raju	
				Filing Date 21 Nov 2003	
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)					
*	27	Borys et al., "Ammonia Affects the Glycosylation Patterns of Recombinant Mouse Placental Lactogen-I By Chinese Hamster Ovary Cells in a pH-Dependent Manner" <u>Biotechnology and Bioengineering</u> 43(6):505-514 (Mar 15, 1994)			
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*	41	Furukawa et al., "Kinetic study of a galactosyltransferase in the B cells of patients with rheumatoid arthritis" <u>International Immunology</u> 2(1):105-112 (1990)			
*	42	Gazzano-Santoro et al., "A Non-Radioactive Complement-Dependent Cytotoxicity Assay for Anti-CD20 Monoclonal Antibody." <u>Journal of Immunological Methods</u> . 202:163-171 (1997)			
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OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)					
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* 83	Raju et al., "Biological significance and structural features of immunoglobulin glycoforms" <u>ABSTRACTS OF PAPERS OF THE AMERICAN CHEMICAL SOCIETY</u> (Abstract No. 024) vol. 215 (Apr 29, 1998)				
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Examiner			Date Considered		

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